



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI: HRM
Number: 3210.2A
Date: May 23, 2001
Subject: Performance Evaluations

1. **PURPOSE AND SCOPE.** To present the procedures for conducting performance evaluations for employees under the District Personal Manual Chapter 14 and for employees under the District Performance Management Program (PMP). This directive provides procedures for conducting ***probationary, midyear and annual*** performance ratings for all employees of the District of Columbia Department Corrections (DCDC) as follows.
 - a. **PMP** applies to the following employees:
 - ?? Management Supervisory Service (MSS)
 - ?? Non-union supervisors and managers in the Career Service (other than those serving a probationary period)
 - ?? Excepted Service employees
 - b. **DPM Chapter 14** - All other employees continue to receive performance evaluations under the Performance Evaluation System. This system has a rating cycle from April 1 to March 31.
2. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. Annual performance ratings will be conducted, allowing supervisors and employees to objectively review and discuss the employee's performance.
 - b. The Performance Management Program (PMP) for planning, managing, appraising and developing performance will be implemented.
 - c. Probationary uniform employees will receive monthly ratings and probationary non-uniform employees shall be rated quarterly.
 - d. During midyear evaluations employees will have an opportunity to understand how their performance is being perceived and the opportunity to make improvements where and when necessary.
 - e. ***New procedures*** are outlined for processing recommended "Outstanding" ratings.

3. DIRECTIVES RESCINDED

- a. D.O. 3210.1 Probationary Year Evaluation – Non-Correctional (1/25/71)
- b. D.O. 3210.2 Performance Evaluation Program/Performance Evaluation (5/30/74)

4. AUTHORITY

- a. DC Code § 24-442
- b. District of Columbia Personnel Manual (DPM) Regulations Chapter 8 "Career Service"
- c. District of Columbia Personnel Manual (DPM) Regulations Chapter 9 "Excepted Service"
- d. District of Columbia Personnel Manual (DPM) Regulations Chapter 14 "Performance Evaluations"
- e. District of Columbia Personnel Manual (DPM) Regulations Chapter 38 "Management Supervisory Service"
- f. District of Columbia Performance Management Program -- Managers/Supervisors Reference Manual. (February, 2000)
- g. District of Columbia Code §1-610.3, 1-601.1 through 1-637.2, 2-139, 12-124, 12-260 D.C. Comprehensive Merit Personnel Act.
- h. D.C. Omnibus Personnel Revitalization Act of 1998.

5. STANDARDS REFERENCED

- a. American Correctional Association (ACA) 2nd Edition Standards for Administration of Correctional Agencies: 2-CO-1C-01, 2-CO-1C-08, 2-CO-1C-15 and 2-CO-1C-21.
- b. American Correctional Association (ACA) 3rd Edition Standards for Adult Local Detention Facilities: 3-ALDF-1C-01, 3-ALDF-1C-10 and 3-ALDF-1C-16.
- c. American Correctional Association (ACA) 3rd Edition Standards for Adult Correctional Institutions: 3-4048, 3-4057 and 3-4062.
- d. American Correctional Association (ACA) 3rd Edition Standards for Adult Community Residential Services: 3-ACRS-1C-07 and 3-ACRS-1C-16.

6. **DEFINITIONS.** For the purposes of this program statement, the following definitions shall be used:

- a. **Employee** – A career or career-conditional incumbent including those still completing their probationary year and incumbents serving in a temporary appointment of longer than 1 year.
- b. **Individual Development Plan** - A plan of action to strengthen individual performance; identifying specific areas of performance needing improvement and for improving knowledge, skills and abilities of the employee.
- c. **Individual Performance Plan** – Identifies measurable employee performance goals related to agency and program goals, initiatives and projects.
- d. **Management Supervisory Service Employees** - The Managerial and Supervisory Service System applies to any person whose functions include responsibility for project management and supervision of staff and the achievement of the project's overall goals and objectives. An appointment to a position in the Management Supervisory Service shall be an at-will appointment.
- e. **Mid-year Assessment** - The supervisor's performance feedback to employees on an ongoing basis throughout the performance period.
- f. **Performance Management Program** – The program established to assist supervisors and managers to plan, manage, appraise and develop employee performance.
- g. **Performance Requirements** – The requirements in the employee's position description and the Individual Performance and Individual Development Plan in which the rating official specifies the degree of proficiency. These requirements should be established in advance and provided in writing to the employee.
- h. **Probationary Employee** – An employee employed by DCDC who has had less than 1 year of continuous service with DCDC.
- i. **Probationary Year** – The one-year period after an employee enters on duty, whether temporary or permanent, with DCDC. This does not impose another year on employees who have completed such a trial with another agency; but, it is instead an evaluation of the employee's ability to perform at an acceptable level the job for which he or she was hired.
- j. **Probationary Year Evaluation** – The quarterly reports on the performance of probationary employees completed by the employee's immediate supervisor.
- k. **Protected Class** - For the purposes of this directive, see Section 10, Subsection n. "Exceptions" §§ 1) of this directive.

- l. **Rating** – The level of the employee's actual performance of assigned duties and responsibilities, goals and work behavior during the rating period.
- m. **Rating Period** – The time frame covered by a periodic appraisal of performance. The performance rating period for Management and Supervisory employees shall be from the beginning of each fiscal year to the end of the fiscal year. Non-supervisory employees rating periods cover April 1 – March 31 of the following year.
- n. **Rating Official (Rater)** – The individual immediately responsible for the work performed by the employee and who is responsible for completing the employee's rating.
- o. **Reviewing Official (Reviewer)** - The Rating Official's supervisor. *The Reviewing Official shall serve as the final authority for ratings of Satisfactory.*
- p. **Approving Official** – Under DPM Chapter 14 requirements, the Approving Official for ratings of *Excellent* shall be at the level of Deputy Director, Warden, Office Chief or Administrator, within the chain-of-command of the employee being rated. The Director is the Approving Official for ratings of *Outstanding* and *Unsatisfactory*.

Under PMP requirements, the Approving Official for Levels 2 - 4 (i.e., Exceeds Expectations, Meets Expectations, Needs Improvement) shall be at the level of the Warden, Administrator, Office Chief, Deputy Director or the Director, within the chain-of-command of the employee being rated. The Director is the Approving Official for ratings of Level 5-Significantly Exceeds Expectations and Level 1-Does Not Meet Expectations.

- q. **Underlined Factors** - The rater shall identify the pertinent factors (on the P.O. Form 12) and underline the rating factors that are considered especially important to the accomplishment of the duties and responsibilities of the position.
- r. **Overall Ratings - Chapter 14**
 - 1) **Outstanding** – All aspects of the employee's performance or all performance in the category being rated is outstanding. As an overall rating, an outstanding rating means that all aspects of the employee's performance not only exceed normal job requirements but are outstanding and deserve special recognition. An Outstanding rating shall not be recommended if the employee has been in the position for less than 12 months. Supervisors of outstanding employees may recommend monetary awards for the employee. A Certificate of Recognition for each employee who is rated outstanding shall be prepared by DCDC HRMD and forwarded to the Secretary of the District of Columbia for the Mayor's signature.

- 2) **Excellent** - All aspects of the employee's performance or all performances in the category being rated are excellent. As an overall rating, it means the employee's performance meets all job requirements and is consistently superior in the major duties of the position. Certificates of commendation, signed by the Director, DCDC, shall be presented to all employees who receive a rating of Excellent.
- 3) **Satisfactory** - All aspects of the employee's performance or all performance in the category being rated is satisfactory. As an overall rating, the employee met the job requirements or if any performance requirements were not met, performance in other areas compensate for the deficiencies.
- 4) **Unsatisfactory** - All aspects of the employee's performance or all performance in the category being rated is unsatisfactory. An employee may not be rated deficient on a job element which was not a work requirement during the rating period or which the employee had not been given a fair opportunity to meet. As an overall rating, it means that the performance fails to meet the minimum requirements of the majority of the duties of the position.

s. **Ratings - Performance Management Program**

- 1) **Level 5 Significantly Exceeds Expectations** - Consistently and significantly exceeds performance expectations; exceptional accomplishments are obvious to managers and peers;
- 2) **Level 4 Exceeds Expectations** - Consistently exceeds performance expectations in most areas and meets expectations;
- 3) **Level 3 Meets Expectations** - Consistently meets key performance expectations and may exceed on some expectations;
- 4) **Level 2 Needs Improvement** - Meets some performance expectations but requires improvement in one (1) or more areas;
- 5) **Level Does Not Meet Expectations** - Consistently does not meet performance expectations.

7. **RESPONSIBILITIES.**

- a. This policy shall be executed under the authority of the Director.
- b. Administration of this policy and procedures is delegated to the Deputy Director.
- c. All supervisors shall be properly trained in the evaluation methods and procedures; and assuring the review and appropriate action in questionable or problem cases.

- d. Managers and supervisors shall ensure that performance evaluations are conducted in a timely manner and as defined in this directive.

8. PERFORMANCE EVALUATIONS

- a. Rating employee performance requires sufficient observation of the employee's behavior and performance of work, evaluation against an acceptable standard of performance and accurately reporting the employee's performance.
- b. All DCDC employees shall receive an impartial and objective rating. The employee and the supervisor should meet privately to discuss the rating within the rating period.
- c. However, *no performance rating is official until it has been reviewed and approved by the required approval official as set forth in this directive.*
- d. Raters shall not give employees a photocopy of the rating. The employee shall receive their copy of the rating once it has been approved and processed via HRMD.
- e. Sections 9 and 10 of this directive discuss performance evaluation procedures under Chapter 14.

9. PERFORMANCE EVALUATION FOR PROBATIONARY EMPLOYEES.

- a. The probationary period for new hires and newly promoted employees is 12 months from the employee's entry or promotion date.
- b. Probationary correctional officers shall be rated monthly during their first year of employment.
- c. All other probationary employees will receive quarterly evaluations during the first year of employment.
- d. The end of the 3rd rating period occurs 9 months after the probationary employee has reported for duty. At that time a determination should be made on the basis of the work performance whether the employee should be retained or separated.
- e. If retained, the employee will receive an annual rating upon completion of the first year of employment, using PO Form 12. Section 10 of this directive defines the rating process for probationary employees as well as designated career and career non-supervisory employees.

10. PERFORMANCE EVALUATION FOR CAREER AND CAREER-CONDITIONAL NON-SUPERVISORY EMPLOYEES. All career and career conditional non-supervisory DCDC employees shall receive an annual performance evaluation.

- a. **Rating period** – The rating period for career and career conditional employees is April 1 through March 31.
 - 1) The due date for all completed rating forms is June 30. At that time, all ratings should be received in the District of Columbia Personnel Office.
 - 2) Therefore, no later than June 1, each DCDC rating official shall complete all ratings or a memorandum explaining why any rating was not completed, have each signed by the reviewing official and forward them to HRMD.
 - 3) It is recommended that all employees have a mid-term evaluation for the period ending September 30.
 - 4) Refer to Section "e." for unsatisfactory employee performance.
- b. **Rating Factors** - Any of the 33 factors listed in PO Form 12 "Report of Performance Rating" (Attachment 1) and defined in Attachment 2.
- c. **Overall Rating** - Employees shall be assigned an overall performance rating of Outstanding, Excellent, Satisfactory or Unsatisfactory. Further instructions for processing Outstanding and Unsatisfactory evaluations are included in this directive.
- d. The Office of Human Resource Management shall provide each rating official with a sufficient number of P.O. Form 12, DC Report of Performance Rating Form for each employee under the rater's purview.
- e. With the exception of ratings of Outstanding, (see Section 10, Subsection i. "Outstanding Rating") the rater shall conduct a conference with the employee, discussing the recommended rating. The rater must inform the employee of appeal rights (See Section 10 Subsection o. "Rating Appeals" of this directive).
- f. The rater shall thereafter submit the recommended rating to the reviewing official.
- g. Recommended ratings of *Outstanding and Unsatisfactory* are not official until the Approving Authority has signed off and the following procedures shall apply.
- h. The Warden/Administrator/Office Chief shall submit an alphabetical list, broken down by categories (i.e., Outstanding, Excellent, Satisfactory, Unsatisfactory, and Not Rated with an Explanation as outlined in Section 10 §n. "Exceptions" of this directive) must be provided to HRMD on a diskette. The list shall include the employee's name, title, series and grade. The ratings (with the white, yellow and pink copies intact and one photocopy) shall be forwarded to HRMD, along with the diskette and a cover memorandum to the Special Projects Officer citing the number of ratings in each category.

i. Outstanding Rating

- 1) The rater shall prepare written justification for a rating of Outstanding. The rater shall identify the pertinent factors (on the P.O. Form 12) and underline the rating factors that are considered especially important to the accomplishment of the position and submit a written justification in support of the underlined factors. The justification must be explicit, cite job accomplishments in terms of job performance and the underlined rating factors, and provide an explanation as to why the accomplishments are considered Outstanding.
- 2) Prior to discussing a recommended rating of Outstanding with the employee, the rater shall present the rating to the reviewer (Warden, Office Chief, Administrator) for approval or disapproval. If the reviewer approves the recommendation for Outstanding, the reviewer must then submit the rating to HRMD for sufficiency. HRMD will then forward the rating to the Deputy Director for review and transmittal to the agency Director for approval or disapproval.
- 3) The agency Director has the discretion to approve, disapprove, change or return the recommended rating of Outstanding for additional information or justification.
- 4) If the Director approves the rating, it shall be forwarded to HRMD, who will return it to the Rater for discussion with and signature by the employee. The rating shall then be forwarded for final processing in accordance with Section 10, subsection k. "Rating Processing" of this directive.
- 5) If the rating is denied, the rater shall review the reason(s) for the denial, reevaluate the performance evaluation given and assign an appropriate rating. The performance evaluation shall then be discussed with the employee and processed in accordance with this directive.

j. Unsatisfactory Ratings

- 1) An employee who is performing at an overall Unsatisfactory level must receive supervisory counseling and a memorandum that specifically identifies:
 - a.) The job requirements the employee is failing to meet;
 - b.) What the employee can do to bring performance up to a satisfactory level;
 - c.) What efforts the supervisor will make to assist the employee to improve performance; and

- d.) That an unsatisfactory rating will be assigned if performance does not improve to meet required standards and that a rating of unsatisfactory can lead to removal or demotion.
- 2) If unsatisfactory performance continues the supervisor must issue a letter of warning no earlier than 6 months (October) and no less than 90 days (December) prior to March 31 (the end of rating period). The letter of warning shall inform the employee of the opportunity to improve job performance prior to the end of the rating period
- 3) If the letter of warning is not given in time to meet the condition in Section 2) above, a warning letter and unofficial rating can be approved through the chain-of-command by the Director and issued by March 31st, for postponement of the rating. The rating postponement shall be for not less than three months or more than six months from the date the employee receives the letter of warning.
- 4) Chapter 14 of the DPM provides more details about an Unsatisfactory rating. Any supervisor considering rating an employee Unsatisfactory shall consult the District Personnel Manual (DPM) for further assistance.

k. **Rating Processing**

The HRMD shall forward the completed evaluation by sending the White Copy to the D.C. Office of Personnel, Servicing Personnel Office No. 2 for filing in the employee's Official Personnel Folder; and sending the Yellow and Pink copies to the employee and rater. A copy of the rating shall also be maintained on file in HRMD. Based on the rating HRMD shall forward the following:

- 1) **Unsatisfactory ratings** - Letters of warning and decision, P.O. Form 12 together with written justification and any other pertinent data.
- 2) **Outstanding ratings** - P.O. Form 12 and a written justification.
- 3) **Satisfactory or Excellent Ratings** - P.O. Form 12 with appropriate comments noted.
- 4) All materials relating to Outstanding and Unsatisfactory ratings that have been approved by the Approving Authority shall be filed in the employees Official Personnel Folder for a permanent record. Copies of Satisfactory or Excellent ratings shall be retained in the employee's Official Personnel Folder for 1 year or until superseded by another official rating.
- 5) The Rating Official shall maintain a file of the overall ratings they have assigned. Official records concerning an employee's performance rating

maintained by the DC Office of Personnel or the DCDC Human Resources Management Division (HRMD) shall be available for inspection by the employee concerned upon request.

- I. **Exit Ratings** shall be conducted by supervisors who are leaving their positions during the last six months of the rating period in order to assist the succeeding supervisor in evaluating the employee. When an exit rating is given it shall be done with the participation of each subordinate being rated and it should be recorded on PO Form 12 in the same manner as the official rating. However, the rating shall only be signed by the supervisor and the employee; and it should be subsequently forwarded to and maintained in HRMD and turned over to the rating official at the end of the official rating period.
- m. **Advisory Ratings** shall be prepared by the former supervisor, when available, if they left their position during the last 90 days of the rating period and failed to prepare exit ratings. The succeeding supervisor can consult with the second level supervisor if the former supervisor did not prepare exit ratings and is no longer available.
- n. **Exceptions.**
 - 1) **Protected Class** - Ratings for an employee in the protected class under Bessye R. Neal v. Moore CA 93-2420, requires Special Master Approval prior to discussion, approval and issuance to the employee when:
 - a) The rater, based upon the employee's performance, intends to assign a rating that is lower than the rating the employee received for the previous rating period; or
 - b) the employee would be restricted from assignment of Outstanding because the employee is in a probationary status or has served less than 12 months in the position in accordance with DPM Chapter 14, Section 2.4.
 - 2) **No current rating.** In the absence of any information in the employee's Official Personnel Folder, it shall be assumed that the current rating is satisfactory except in cases where a Reduction-In-Force (RIF) is occurring. The DC Office of Personnel shall review Official Personnel Folders of competing employees to determine that all employees on the RIF register have a current performance rating. If an employee should have been rated in accordance with these procedures but there is no rating in the Official Personnel Folder, the DC Office of Personnel shall obtain a supervisory performance rating through the most expeditious means. If the employee was not eligible to receive a rating in accordance with this directive the DC Office of Personnel shall place a statement to this effect in the Official Personnel Folder.

- 3) **Reassignment to a position with different duties.** The employee shall be rated ninety days from the effective date of reassignment.
- 4) **Promotion or Demotion.** The employee shall be rated ninety days from the effective date of the promotion or demotion.
- 5) **Transfer from another personnel authority.** The employee shall be rated at the end of the next rating year.
- 6) **Restoration to duty.** The employee shall be rated at the end of the next rating year.
- 7) **Entrance Rating.** An employee newly appointed or transferred shall automatically be considered as having been assigned an entrance rating of Satisfactory. This rating shall remain the official rating of record until such time as replaced by another official rating in conformance with this directive.
- 8) **Pending Adverse Action.** The rating shall be postponed if the employee is under notice of proposed removal or demotion for cause until such time as a final decision to the action has been made.

The employee shall be rated within ten days if the decision is reversed.

- o. **Rating Appeals.** Any employee who disagrees with his or her overall rating has the right to request an impartial review of the rating. However, an employee who disagrees with the rating on one or more job elements but not with the overall rating may not request an impartial review. Requesting a review is discussed in Subpart 3, Chapter 14 of the DPM.

11. PERFORMANCE EVALUATION FOR EMPLOYEES DETAILED TO OTHER

POSITIONS. Normally, the employee and the supervisor for the position of record complete the evaluation. If during the last 90 days of the rating period, the employee has served in a detail for 90 days or more, the current temporary supervisor shall, with input from the supervisor for the employee's position of record, rate the employee.

12. PERFORMANCE EVALUATION FOR MANAGERIAL AND SUPERVISORY SERVICE EMPLOYEES (MSS). MSS applies to any person whose functions include

responsibility for project management and supervision of staff and the achievement of the project's overall goals and objectives. An appointment to a position in the Management Supervisory Service shall be an at-will appointment. The performance of employees in the MSS shall be defined and evaluated through an individual performance plan, mid-year assessment, and annual evaluation.

- a. **Rating Period** - The performance evaluation period for MSS and Excepted Service employees shall be October 1 through September 30.

- b. **Individual Performance Plan.** The Individual Performance Plan (Attachment 3) is developed by the supervisor and the employee following these specific steps:
- 1) Identify goals aligned with specific job duties and responsibilities stated in the employee's job description.
 - 2) Identify goals around particular projects or initiatives (especially at the level of manager and above).
 - 3) Identify measurable goals that correspond to specific competencies, if desired.
 - 4) This individual plan must be completed by October 31 and should be specific, measurable, challenging and supportive of the individual's job responsibilities and career goals. For new employees, Individual Performance Plans (Attachment 3) must be completed within 30 days of entrance on duty. The Individual Development Plan (Attachment 4) shall be developed upon completion of a probationary period or within thirty (30) days of appointment.
- c. **Mid-year Assessment.** Both the employee and supervisor shall review the goals and the individual performance plan as well as developmental goals in the Individual Development Plan. The same forms will be used for the mid-year and annual evaluations; however, the mid-year assessment is for feedback or development purposes only and is not a part of the employee's record. Supervisors shall complete the mid-year evaluations and performance discussions by April 30. In the performance discussion, the supervisor and employee shall identify areas where the employee is making significant progress towards meeting an objective, and work together to create an action plan to ensure the goal is met by the end of the year.
- d. **Annual Assessment.** The manager or supervisor should complete a formal evaluation for the employee using the Performance Evaluation Form (See Attachment 5). The manager or supervisor must complete the Annual Performance Evaluation Form before the performance evaluation discussion with the employee.
- 1) The rating levels for the performance management program shall be as follows:
 - a) Level 5 Significantly Exceeds Expectations - Consistently and significantly exceeds performance expectations; exceptional accomplishments are obvious to managers and peers;
 - b) Level 4 Exceeds Expectations - Consistently exceeds performance expectations in most areas and meets expectations;
 - c) Level 3 Meets Expectations - Consistently meets key performance expectations and may exceed on some expectations;

- d) Level 2 Needs Improvement - Meets some performance expectations but requires improvement in one (1) or more areas;
 - e) Level Does Not Meet Expectations - Consistently does not meet performance expectations.
- 2) To calculate the overall performance rating, the manager or supervisor shall complete the following steps:
- a) Rate the level of performance achieved on each work outcome goal using the 5-point scale. Compute a weighted rating for each goal (rating X percentage weighing). Compute an overall work outcome rating by adding the weighted rating of each goal.
 - b) Rate the level of performance achieved on each competency using the 5 point-scale. Compute an overall competency rating.
 - c) Determine the overall performance rating by computing a weighted average of the two above categories, using the following category weights: 60% overall work outcomes rating, 40% overall competency rating.
- 3) After the Annual Performance Evaluation is completed, with the exception of the Level 5 Significantly Exceeds Expectations rating, the next step is to discuss the Performance Evaluation and rating with the employee.
- a) Managers/supervisors should schedule a time for discussion that is agreeable to both parties, and the discussion should take place no later than October 31.
 - b) The discussion should be a highly participative meeting with the employee and the manager or supervisor sharing responsibility for the conversation.
 - c) Managers/supervisors should focus the discussion on the employee's strengths, opportunities for improvement, and differences in perceptions of the employee's performance between the employee and manager or supervisor, as indicated by the evaluations.
 - d) Before signing the evaluation form, employees should include any additional comments in the section entitled Employee Comments. If the employee declines to sign the form, the supervisor should indicate this on the employee signature line of the Performance Evaluation form.
 - e) When the rating is delayed, the cause of the delay shall be explained in a memorandum and the rating shall be completed as soon as possible.

- f) To be rated, an employee must have been in the position for at least 90 days.
 - (1) If the employee has been reassigned to a position with similar duties, he or she may be rated at the usual time.
 - (2) However, if the reassignment or new position does not have similar duties, the rating must be delayed until the employee has completed 90 days in the new position.
- g) The employee shall work with his or her manager or supervisor to carefully plan and establish performance expectations. The manager or supervisor shall formally discuss performance and build on strengths and identify developmental opportunities. To facilitate the process, the following schedule shall be maintained.
 - (1) During October or as soon as the employee is placed in the position, the manager or supervisor and the employee shall:
 - ?? Establish the job's duties and responsibilities.
 - ?? Develop the Individual Performance Plan that identifies measurable employee performance goals related to agency and program goals, initiatives and planned projects for the upcoming year.
 - ?? Develop the Individual Development Plan that identifies a plan of action for improving knowledge, skills and performance related to job duties and the performance plan mission.
 - (2) By October 31st employee shall sign the Individual Performance Plan (IPP) and the Individual Development Plan (IDP) which have been established by the manager or supervisor with the assistance of the employee in order to provide the employee with measurable performance goals related to the job's duties and responsibilities.
 - (3) The manager or supervisor shall provide the employee with coaching and assistance throughout the year in order to facilitate the employee's achieving the IPP and IDP goals and to strengthen his or her performance.
 - (4) No later than April 30, the manager or supervisor shall provide the employee with feedback on his or her year-to-date performance and progress toward achieving the IPP and IDP goals. This process shall lead to an action plan for the remainder

of the year by providing feedback to the employee, maintaining the employee's motivation, and providing the employee with an understanding of how his or her manager or supervisor assesses his or her strengths and areas that need improvement.

- (5) No later than September 15, the employee has the option of conducting a self-evaluation and rating himself or herself honestly on all performance goals and criteria associated with his or her specific position and giving a copy of the self-evaluation to his or her supervisors.
- (6) No later than October 31, the manager or supervisor shall provide the employee with a performance evaluation and a performance rating (Attachment 5). At the same time, the IPP and IDP for the next rating year shall be developed.
- (7) At any time during the year, when it becomes appropriate, the manager or supervisor and the employee shall establish a Performance Improvement Plan (Attachment 6) when the employee fails to meet expectations. The Performance Improvement Plan must state the specific areas in which the performance is deficient and provide concrete and measurable actions that can be taken to improve the deficient performance.
- (8) Prior to discussing a recommended Level 5 Rating of Significantly Exceeds Expectations with the employee, the rater shall present the rating to the reviewer (Warden, Office Chief, Administrator) for approval or disapproval. If the reviewer approves the recommendation the reviewer must then submit the rating to HRMD for sufficiency. HRMD will then forward the rating to the Deputy Director for review and transmittal to the agency Director for approval or disapproval.
- (9) The agency Director has the discretion to approve, disapprove, change or return the recommended rating of Significantly Exceeds Expectations for additional information or justification.
- (10) If the Director approves the rating, it shall be forwarded to HRMD, who will return it to the Rater for discussion with and signature by the employee. The rating shall then be forwarded for final processing in accordance with Section 10, subsection k. "Rating Processing" of this directive.
- (11) If the rating is denied, the rater shall review the reason(s) for the denial, reevaluate the performance evaluation given and assign an appropriate rating. The performance evaluation shall then be

discussed with the employee and processed in accordance with this directive.

- 13. PERFORMANCE EVALUATION FOR EXCEPTED SERVICE EMPLOYEES.** The work performance of DCDC excepted service employees shall be evaluated externally in accordance with the provisions of Chapters 14 and 38 of the D.C. Personnel Manual.



Odie Washington
Director

Attachment 1	D.C. Government Report of Performance Rating (P.O. 12)
Attachment 2	Excerpt from Chapter 14 Performance Evaluations "Rating Factors"
Attachment 3	PMP Individual Performance Plan
Attachment 4	PMP Individual Development Plan
Attachment 5	PMP Performance Evaluation Form
Attachment 6	PMP Performance Improvement Plan